

**CERTIFICATE OF MAILING**

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January 23, ~~2002~~ 2003

Date of Deposit

James L. Katz, Reg. No. 42,711

Name of Applicant, Assignee or  
Registered Representative

Signature

1/23/03  
Date of Signature

Our Case No.: 10098/6

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Tritt et al.

Serial No.: 09/475,637

Filing Date: December 30, 1999

For: **SIMULTANEOUS REAL-TIME  
ACCESS TO FINANCIAL  
INFORMATION**

Examiner: A. Rudy

Group Art Unit No.: 3627

**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Second Supplemental Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

### US PATENTS

DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME
4,860,352	8/22/1989	Laurance et al.
5,701,423	12/23/1997	Crozier
5,764,789	6/09/1998	Pare, Jr. et al.
5,870,723	2/09/1999	Pare, Jr. et al.
5,884,285	3/16/1999	Atkins
5,893,079	4/06/1999	Cwenar
5,911,135	6/08/1999	Atkins
6,035,276	3/07/2000	Newman et al.
6,119,229	9/12/2002	Martinez et al.
US 6,202,054 B1	3/12/2001	Lawler et al.
US 6,223,187 B1	4/24/2001	Boothby et al.
US 6,233,341 B1	5/15/2001	Riggins
US 6,324,522 B2	11/27/2001	Peterson et al.
US 6,331,972 B1	12/18/2001	Harris et al.
US 6,408,282 B1	6/18/2002	Buist

### FOREIGN PATENTS

DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	
JP 59-216265	12-1984	JAPAN	Abstract in English

In accordance with 37 C.F.R. § 1.97(g),(h), this Second Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

A fee as set forth in 37 C.F.R. § 1.17(p) in the amount of \$180.00 is enclosed herewith. Should the enclosed check be insufficient, omitted or should any additional fees be deemed necessary under 37 C.F.R. §§ 1.16 to 1.21 for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,



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FORM PTO-1449	SERIAL NO. 09/475,637	CASE NO. 10098/6
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE December 30, 1999	GROUP ART UNIT 3627
(use several sheets if necessary)		APPLICANT(S): Tritt et al.

## REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	C1	4,860,352	8/22/1989	Laurance et al.		
	C2	5,701,423	12/23/1997	Crozier		
	C3	5,764,789	6/09/1998	Pare, Jr. et al.		
	C4	5,870,723	2/09/1999	Pare, Jr. et al.		
	C5	5,884,285	3/16/1999	Atkins		
	C6	5,893,079	4/06/1999	Cwenar		
	C7	5,911,135	6/08/1999	Atkins		
	C8	6,035,276	3/07/2000	Newman et al.		
	C9	6,119,229	9/12/2002	Martinez et al.		
	C10	US 6,202,054 B1	3/12/2001	Lawler et al.		
	C11	US 6,223,187 B1	4/24/2001	Boothby et al.		
	C12	US 6,233,341 B1	5/15/2001	Riggins		
	C13	US 6,324,522 B2	11/27/2001	Peterson et al.		
	C14	US 6,331,972 B1	12/18/2001	Harris et al.		
	C15	US 6,408,282 B1	6/18/2002	Buist		

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	C16	JP 59-216265	12-1984	JAPAN		Abstract
	C					
	C					
	C					
	C					

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	C	
	C	
	C	
	C	
	C	
	C	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Rev. Dec.-99

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